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General and complete disarmament**Conventional arms control at the regional and
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* A/69/50.



I. Introduction

1. In resolution 68/56 of 5 December 2013, the General Assembly decided to give urgent consideration to the issues involved in conventional arms control at the regional and subregional levels and requested the Secretary-General to seek the views of Member States on the subject and to submit a report to the General Assembly at its sixty-ninth session.
2. Pursuant to that request, on 25 February 2014, the Secretariat sent a note verbale to Member States requesting their views on the subject. At the time of writing of the present report, 11 replies had been received from Member States. Those replies are reproduced in section II below. Subsequent replies will be issued as an addendum.

II. Replies received from Member States

Azerbaijan

[Original: English]
[29 April 2014]

Conventional arms control regimes are important instruments for ensuring stability, mutual trust, predictability and transparency in the military sphere at various levels. Such regimes require a high degree of commitment by States parties to their underlying principles and strict adherence to the norms and principles of international law.

Azerbaijan is a signatory of the 1992 Tashkent Agreement on the Principles and Procedures for the Implementation of the Treaty on Conventional Forces in Europe. Although Azerbaijan has not ratified the Agreement, it has been voluntarily applying and observing the provisions of the Treaty. Within the terms of the Treaty and the Vienna Document 2011 on Confidence- and Security-building Measures of the Organization for Security and Cooperation in Europe (OSCE), Azerbaijan adheres to transparency measures by participating in regular information and notification exchanges and receiving inspections. Azerbaijan is actively engaged in the discussions on the future of the conventional arms control regime in Europe.

The continued occupation by Armenia of the Daghylyq Garabagh (Nagorno-Karabakh) region and seven surrounding districts of Azerbaijan is a serious obstacle to the full implementation of the Treaty on Conventional Forces and the Vienna Document 2011. Armenia is in breach of the fundamental principles of the Treaty, including the obligation to refrain from the threat or use of force against the territorial integrity or political independence of any State and the "host nation consent", for which the Treaty provides that no State party can station conventional armed forces on the territory of another State party without the agreement of that State party.

For decades Armenia has continued its military build-up and regularly conducts large-scale military exercises in the occupied territories of Azerbaijan. Overall, Armenia is the most militarized country of the South Caucasus. The cumulative quantity of Armenian declared and undeclared equipment limited by the Treaty which is stationed within its territory and in the occupied territories of

Azerbaijan has far exceeded the ceilings allowed under the Treaty. Despite the findings of various international inspections, including those carried out in 2012 and 2013, of significant arms procurement by Armenia, that State has not declared any increase in holdings for years.

Armenia must immediately withdraw its armed forces from all occupied territories of Azerbaijan, respect the latter's territorial integrity and constructively engage in negotiations on the settlement of the conflict, thus paving the way for the achievement of lasting peace, security and stability and the establishment of an effective arms control regime in the region.

Plurinational State of Bolivia

[Original: Spanish]
[9 April 2014]

Given that the international community has set a goal of reducing the number of weapons in the world, the issue of conventional arms is a global matter. A surge in the number of conventional arms affects the development of every country and hampers the achievement of the Millennium Development Goals, including the goal of poverty reduction.

Global expenditure on conventional weapons represents 5.4 per cent of global gross domestic product; the trade in small arms and conventional weapons is among the least transparent and the least regulated. In that regard, Governments are developing policies to reduce the number of conventional weapons so as to increase support in the areas of health and education.

The murders committed with conventional arms in the region and subregion account for one of the highest rates of violence in the world, while the illicit trade in arms has become one of the most profitable businesses, in particular in the region.

Conventional arms control at the regional and subregional levels is of the utmost importance, in particular to maintain peace and security at the national and international level. Measures and actions agreed under bilateral and multilateral agreements must therefore be taken in order to eradicate this threat.

The preservation of a balance in the defence capabilities of States involved the arms race at the lowest level will help maintain a zone of peace and stability, free from threats and danger.

The arms race, which primarily involves countries with greater military capabilities, poses a threat to the region and subregion, underscoring the importance of implementing agreements to prevent attacks of various types and scope.

Chile

[Original: Spanish]
[14 May 2014]

On 18 and 19 February 2014, the ninth meeting of the Executive Board of the South American Defence Council was held in Paramaribo, Republic of Suriname. The methodological study on enhancing the transparency of the military inventory

of South American States and the final report on the methodology to enhance the transparency of military inventories were approved at the meeting.

In addition, it was agreed that the first report, under the technical responsibility of the Centre for Strategic Studies in Defence, would be submitted to the South American registry of military inventories by 31 July 2014, thus launching arms control at the regional and subregional levels, pursuant to General Assembly resolution 68/56.

Cuba

[Original: Spanish]
[30 April 2014]

Arms control based on strict respect for the principles enshrined in the Charter of the United Nations, including equal rights, the right of peoples to self-determination, the right to self-defence, respect for sovereignty, territorial integrity and non-interference in the internal affairs of States, is critical to the promotion of peace and regional and international security.

In a truly historic moment, as part of an initiative to strengthen regional peace and security, on 29 January 2014, at the second summit of the Community of Latin American and Caribbean States, held in Havana, Latin America and the Caribbean was formally declared a zone of peace.

In the proclamation, all Latin American and Caribbean States agreed to banish war and the threat and use of force in the region and to endeavour to resolve differences between States by peaceful means and in line with international law. The proclamation also sets out the firm commitment of States in the region to promote nuclear disarmament as a priority and to general and complete disarmament in order to strengthen confidence among nations.

Cuba, which has never possessed, does not possess and has no intention of ever possessing weapons of mass destruction of any kind, has only the sufficient number of conventional arms to ensure its national security; these are controlled by the appropriate State organs.

In regions where there are tensions, a major goal of conventional arms control measures should be to stem the potential for surprise military attacks and prevent external attacks.

In many regions, an obstacle to the control of conventional arms is the relative ease with which such arms can be acquired in countries where their sale is not strictly regulated, the authorization of exports and imports lacks rigour, or the national protection and control of arsenals is inadequate.

Efforts to promote regional and subregional agreements on conventional arms control must take into consideration the voluntary nature of the involvement of the parties concerned and the need to respect international law and the purposes and principles enshrined in the Charter of the United Nations. States with larger military capabilities have a special responsibility to facilitate such agreements for the sake of regional security.

Georgia

[Original: English]
[7 May 2014]

In the case of Georgia, the issue of conventional arms control at the regional level is regulated by the Vienna Document 2011 on Confidence- and Security-building Measures, the Treaty on Conventional Armed Forces in Europe and the Treaty on Open Skies. At the subregional level, Georgia participates in activities conducted under the 2002 Document on confidence- and security-building measures in the military and naval fields in the Black Sea (see A/57/82).

Mexico

[Original: Spanish]
[3 June 2014]

Mexico considers conventional arms control at the regional and subregional levels to be critical to building confidence and preventing conflicts among States.

In its conventional arms control activities at the regional and subregional levels, Mexico has always adhered to national legislation and to the principles of the Charter of the United Nations and the Charter of the Organization of American States (OAS), promoting the implementation of confidence-building measures and the fulfilment of related obligations as a means of fostering transparency and the exchange of information in the region.

Moreover, Mexico recognizes the importance of maintaining the defence capabilities of States at the lowest possible level of armaments as a means of supporting regional and international peace and security.

Activities at the national level

The Mexican Army and Air Force contribute to conventional arms control by implementing the Federal Firearms and Explosives Act.

Pursuant to the Act, the Government aims to strengthen measures on the illicit trade in firearms by maintaining a national registry and regulating arms control activities in coordination with the relevant federal agencies. It has also brought national legislation into line with its international commitments.

The national legislation sets out the legitimate uses for each type of conventional arm and distinguishes weapons that are for the exclusive use of the armed forces from weapons authorized for civilian use, including weapons used for public and private security, sporting and hunting activities and home defence.

The armed forces are deployed in operations along the country's borders and contribute to conventional arms control by implementing the Federal Firearms and Explosives Act, guaranteeing the safety of residents in the area and stemming the flow of arms into the country.

The Ministry of Defence, in coordination with the three tiers of Government, continues to implement the weapons exchange programme as a strategy to counter trafficking in and illegal possession of small arms. The programme encourages civilians to voluntarily surrender weapons in their possession in exchange for a

reward in the form of cash, basic foodstuffs or household appliances. From 1 January to 31 December 2013, 30,993 firearms, 2,297 grenades and 778,546 cartridges were surrendered.

To complement the weapons exchange programme, the Ministry of Defence and the Ministry of the Interior have embarked on arms registration campaigns with the aim of regularizing and maintaining strict control of weapons, in accordance with the Federal Firearms and Explosives Act, through the use of an accurate and reliable database. Agencies in the justice system use the database as a tool to trace weapons that are linked to criminal activity and were brought into the country legally and to monitor and ensure that every weapon that enters the country bears the marks of the importer and the exporter in order to more easily identify the origin and destination.

In this regard, from 1 January to 31 December 2013, 9,474 firearms, 1,203 grenades and 1,292,711 cartridges were seized.

The control of legal weapons in Mexico is divided into two categories:

(a) First, information is collected on conventional weapons used by the armed forces, including details on their operational state, storage, maintenance, legal status or planned destruction. That control measure is carried out on a continuous basis in order to take full stock of all weapons, from the moment of their manufacture, purchase or transfer, and to maintain records, even after the weapons are destroyed;

(b) The second category covers legal weapons for use in sport and hunting, and for public or private security purposes; those are also subject to the control measures established for conventional arms used by the armed forces.

The procurement of weapons for public and private security entities is conducted exclusively through the Ministry of Defence, in line with the relevant provisions of federal law.

For its part, the Ministry of the Navy, through its intelligence agencies, maintains various national and international channels for the exchange of information, including with States in the region with which Mexico shares common interests, in order to counter the activities of criminal organizations, including crimes such as conventional arms trafficking.

The Ministry of the Navy also operates joint response centres for maritime and port incidents at the major ports. The centres screen goods that enter and leave the country, pursuant to national legislation and the relevant international legal instruments (conventions, codes and treaties). In addition, the Ministry of the Navy conducts inspections at sea, in line with national and international legislation, in order to maintain the rule of law in Mexico's maritime zones and prevent illicit activities, such as arms trafficking.

The National Security Commission promotes the exchange of information, experiences and practices in order to support the consolidation of networks and investigations into illicit trafficking in firearms. It also works in coordination with other agencies to prosecute this activity.

Within its competence, the Commission organizes meetings between the authorities responsible for countering arms trafficking in order to discuss the

conduct of studies that will help identify, inter alia, new trafficking routes and/or trends. In that regard, the Commission is responsible for reviewing the coordinating mechanisms in order to build a database of information on weapons seizures.

The Commission has implemented training programmes on identifying arms and has trained trainers on this topic. It has also conducted public awareness campaigns against arms trafficking and has participated in coordinated operations, in particular on explosives.

Activities at the regional and subregional level

Organization of American States

Mexico participates in the meetings on the Inter-American Convention on Transparency in Conventional Weapons Acquisitions, which was opened for signature in 1999 and entered into force in 2002. Its objective is to promote the exchange of information relating to the production, purchase and sale of conventional arms among States in the hemisphere through periodic reporting mechanisms.

Mexico signed the Convention in 1999 and deposited its instrument of ratification with OAS on 7 March 2011, thus becoming a State party to all inter-American instruments on security. Although Mexico did not become a State party to the Convention until 2011, the Government has always sent OAS a copy of its reports on conventional arms that have been submitted to the United Nations.

United Nations

Countering illicit arms trafficking is a major priority of Mexico's foreign policy and constitutes one of the most critical aspects of the national strategy on security and organized crime. Mexico has therefore promoted the strengthening of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects since its establishment in 2001 and has actively worked to implement the Programme in order to strengthen controls to prevent and combat the illicit trade in small arms and light weapons at the national, regional and global level.

In addition, in order to promote transparency and confidence-building, Mexico submits national reports to the Secretary-General, in line with various General Assembly resolutions on conventional arms.

Arms Trade Treaty

Mexico actively participated in the Final United Nations Conference on the Arms Trade Treaty, held in New York from 18 to 28 March 2013, which sought to create a robust instrument that meets high international standards.

As a result of the efforts of Mexico and the international community, on 2 April 2013, the Arms Trade Treaty was adopted by the General Assembly by its resolution 67/234 B. The resolution was supported and co-sponsored by Mexico.

The Government of Mexico believes that the adoption of this important treaty is an historic achievement, as it represents the first global effort to regulate the trade in conventional arms and establish a legal framework for accountability and transparency in the international transfer of those weapons.

In this regard, Mexico signed the Arms Trade Treaty on 3 June 2013 and deposited its instrument of ratification on 25 September 2013, the same date on which it declared its provisional implementation of articles 6 and 7.

In line with its commitment to the Treaty, Mexico has expressed its intention to host the first conference of States parties to the treaty, upon its entry into force, and to actively participate in the development of institutions and procedures with a view to ensuring the effective implementation of the regime established through the Treaty and achieving results on the ground in the near future.

United Nations Convention on Transnational Organized Crime

Mexico has been a State party to the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition, supplementing the United Nations Convention against Transnational Organized Crime since April 2003. The Protocol entered into force in July 2005 and to date has 109 States parties.

Mexico has helped to promote universal adherence to the Protocol by co-sponsoring General Assembly resolution 68/193 on strengthening the United Nations crime prevention and criminal justice programme, in particular its technical cooperation capacity, which sets out serious concerns at the negative effects of smuggling of small arms and light weapons on the development, peace and security of States. The Assembly also urged Member States to develop adequate national and regional strategies and implement mechanisms for cooperation with the United Nations system in order to address transnational organized crime effectively, including the illicit manufacturing of and trafficking in firearms.

In the resolution the General Assembly also urged the United Nations Office on Drugs and Crime to provide technical assistance to Member States, upon request, in combating illicit trafficking in firearms, their parts and components and ammunition, and to support their implementation of national and subregional strategies to address organized crime.

Panama

[Original: Spanish]
[14 May 2014]

Panama has supported the initiative by signing the Convention on Prohibitions or Restrictions on the Use of Certain Conventional Weapons Which May Be Deemed to Be Excessively Injurious or to Have Indiscriminate Effects. It has also signed the Code of Conduct of Central American States on the Transfer of Arms, Ammunition, Explosives and Other Related Materiel, which sets out, inter alia, confidence-building measures among States in the region. In addition, the Permanent Mission of Panama to the United Nations has actively participated in the First Committee of the General Assembly, which is exclusively concerned with disarmament and international security matters.

The Government of Panama is committed to implementing regional agreements aimed at creating regional and subregional legal instruments for States to jointly exercise strict controls in matters relating to conventional arms.

Portugal

[Original: English]
[14 May 2014]

The General Assembly, at its sixty-eighth session, in its consideration of the item entitled "Conventional arms control at the regional and subregional levels", recognized the crucial role of conventional arms control in promoting regional and international peace and security, highlighting the initiatives taken in different regions of the world in this matter.

Member States recognized that conventional arms control must be undertaken first in the regional and subregional context, as many of the threats to peace and security, in the post-cold-war era, came from States situated in the same regions or subregions. The General Assembly recognized, in particular, the relevance of the Treaty on Conventional Armed Forces in Europe.

Portugal applies legislation and procedures regarding military goods and procedures regarding arms control as described below.

Export controls on military products

All items on the European Common Military List and the Wassenaar Munitions List, under the title "conventional arms", are subject to export controls. Imports and exports are subject to a licence issued by the Ministry of Defence, which is the Portuguese licensing authority for military products.

Transit of the items in the aforementioned lists is also regulated. A permit must be obtained from the licensing authority.

All applications are considered by the Ministry of Defence on a case-by-case evaluation, based on an overall assessment. Each application is also considered by the Ministry of Foreign Affairs in the light of foreign policy interests. Accordingly, the Ministry of Foreign Affairs checks every import and export request against the criteria enshrined in European Union Council Common Position 2008/944/CFSP, of 8 December 2008, which is legally binding for all European Union member States. Briefly, those minimum standard criteria include:

- (a) Respect for the international commitments of Member States, in particular restrictive measures established by the Security Council or the European Union, agreements on non-proliferation and other subjects, as well as other international obligations;
- (b) Respect for human rights in the country of final destination as well as respect by that country of international humanitarian law;
- (c) The internal situation in the country of final destination, as a function of the existence of tensions or armed conflicts;
- (d) Preservation of regional peace, security and stability;
- (e) National security of the Member State and of territories whose external relations are the responsibility of a Member State, as well as that of friendly and allied countries;

(f) Behaviour of the buyer country with regard to the international community, in particular its attitude to terrorism, the nature of its alliances and respect for international law;

(g) Existence of a risk that the equipment will be diverted within the buyer country or re-exported under undesirable conditions;

(h) Compatibility of the arms exports in question with the technical and economic capacity of the recipient country, taking into account the desirability that States should achieve their legitimate security and defence needs with the least diversion of human and economic resources for armaments.

Furthermore, import and export licences are not granted if they are in contravention of United Nations, European Union or OSCE embargoes. For small arms and light weapons, the Wassenaar Arrangement guidelines adopted in 2002 are also applied.

The necessary documentation for obtaining an export licence depends, inter alia, on the exporter and the recipient, the importing country, the quantity of weapons and the intended use. The documentation required includes an import licence or an international import certificate from the competent authorities in the importing country. For military equipment, an end-user certificate with a non-re-export clause is also required.

Regulation of brokering activities

Portugal has implemented directives 2009/43/EC of the European Parliament and Council, dated 6 May 2009 and 2010/80/EU, amending directive 2009/43, from the European Commission, dated 22 November 2010, through the internal Law 37/2011, dated 22 June 2011, which defines the rules and procedures for simplifying control over the international traffic of defence-related products. At the same time, Portugal applies the criteria contained in Common Position 2008/944/CFSP on control of the export of military arms and technologies and Law 49/2009, dated 5 August 2009, which regulates the conditions of commerce and industry of military goods and technologies.

A licence for a specific brokering transaction must be obtained from the Ministry of Defence and, where required by national legislation, also from the authorities with jurisdiction over the place of residence or establishment of the broker. Records of all persons and entities which have obtained such a brokering licence must be kept for a minimum of 15 years (as stipulated in article 32, 2 of Law 49/2009).

All brokers are required to register with the Minister of Defence. Brokers who have not been granted authorization are not allowed to conduct any brokering activities.

Serbia

[Original: English]

[8 May 2014]

The Republic of Serbia fulfils consistently all the obligations undertaken under international instruments in the field of arms control, including the Vienna

Document 2011 on Confidence- and Security-building Measures, the OSCE Document on Small Arms and Light Weapons, the Convention on the Prohibition of the Use, Stockpiling, Production and Transfer of Anti-personnel Mines and on Their Destruction and the Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on Their Destruction.

Proceeding from chapter X of the Vienna Document 2011 (Regional measures), Serbia has signed bilateral agreements in the field of arms control with Hungary and Bulgaria. Under those agreements, two activities on the territory of each country were carried out in 2013. During the activities in Bulgaria, an updated protocol between the Ministry of Defence of the Republic of Serbia and the Ministry of Defence of the Republic of Bulgaria on strengthening confidence- and security-building measures complementing the Vienna Document 2011 was signed. At the same time, two activities were also carried out on the territory of Serbia.

All provisions of article IV of annex 1B (Measures for subregional arms control) of the Dayton Peace Agreement are fully complied with. In 2013, Serbia took part in five inspections carried out on the territories of the other parties to the Agreement, while they took part in five inspections carried out on the territory of Serbia. Nine inspections are scheduled for 2014, five on the territory of Serbia and four on the territories of the other parties to the Agreement. The transfer of ownership of the agreement on subregional arms control to the parties to the Agreement is under way. The activities are taking place according to schedule and the process is expected to be completed by the end of 2014. It is pointed out that this is the only agreement in the field of arms control that is complied with consistently and implemented in full.

The activities provided for by article V of annex 1B of the Dayton Peace Agreement are carried out on a regular basis by the verification centre of the Ministry of Defence of the Republic of Serbia and the verification centre of Germany. In 2013, one activity took place in Serbia, while two activities (one in Serbia and one in Germany) are scheduled for 2014.

The quantities of arms in the possession of the armed forces of Serbia are below the limit defined in article IV, annex 1B of the Dayton Peace Agreement and continue to decrease to the minimum level that meets the external and internal security needs of Serbia.

Spain

[Original: Spanish]
[5 May 2014]

The ultimate goal of an arms control regime should be to prevent conflict by reducing the risk of misunderstanding or miscalculation of the military activities of other countries; establish measures to impede covert military preparations; and reduce the risk of surprise attacks and of the outbreak of hostilities by accident. Disarmament measures should also seek to reduce any surplus in armaments and thus reduce the risk of proliferation.

Conventional arms control measures agreed upon may be legally or politically binding, but in any case should incorporate the following principles:

- Specificity: measures should be specifically negotiated for each case and each geographical area.
- Transparency: this should be based on the exchange of information and the establishment of regular contacts and free-flowing communication.
- Verifiability: the measures adopted should include a system for verifying their implementation.
- Reciprocity: the gains of each party in terms of a higher level of confidence should be matched by similar gains in the levels of confidence of the other parties.
- Progressivity: the measures should be seen as a process in which new and more effective measures are progressively developed as confidence between the parties improves.
- Complementarity: there should be ongoing efforts to ensure complementarity between the measures adopted at the global (United Nations), regional, subregional and bilateral levels and prevent the duplication of measures.

In addition, regional and subregional conventional arms control agreements should take into account the importance of:

- Establishing restrictions on the major categories of conventional arms systems and equipment.
- Compiling an arms inventory in the countries where such inventories do not yet exist and destroying any surplus stocks.
- Disseminating the objectives of pertinent forums to countries in the region that have not yet endorsed them and supporting universal adherence to agreements.
- Strictly enforcing the criteria for authorization of the export and import of arms by national authorities and strengthening the mechanisms for monitoring weapons manufacturers, suppliers, component assemblers and brokers.

Ukraine

[Original: English]
[30 April 2014]

The relevance of conventional arms control at the regional and subregional levels is confirmed by the aggressive actions of the Russian Federation against Ukraine.

Ukraine remains consistently committed to the objectives of strengthening security for all, including through effective and verifiable arms control. As such, Ukraine welcomes all measures in the field of conventional arms, past, present and future.

Ukraine is a long-term responsible participant in pan-European, subregional and complementary bilateral confidence-building mechanisms relevant to arms control, such as the Treaty on Conventional Forces in Europe, the Treaty on Open Skies and the OSCE Vienna Document 2011 on Confidence- and Security-building Measures, as well as separate bilateral agreements on confidence- and security-building measures with neighbouring Poland, Hungary, Slovakia and Belarus. On

10 March 2014, Ukraine signed an agreement on bilateral confidence- and security-building measures with Romania. Regrettably numerous proposals by Ukraine to enter into similar agreements with the Russian Federation were rejected by the Russian side under the pretext of a strategic partnership between the two countries, whose true nature was revealed by the occupation of the Crimea by the Russian Federation, the concentration of Russian armed forces along the Ukrainian border and subversive activities on the territory of Ukraine.

Sharing dissatisfaction with the ongoing impasse in conventional arms control in Europe, which occurred through the fault of the leadership of the Russian Federation, as well as with the slowdown in improvement in the confidence- and security-building measures of the Vienna Document 2011, during its chairmanship of OSCE in 2013, Ukraine initiated a discussion on the role that conventional arms control and confidence- and security-building measures can play in the creation of a modern, future security architecture in Europe.

The salient idea and the main goal of the Ukrainian initiative was and is to create a future-oriented strategic discussion on conventional arms control and confidence- and security-building measures without prejudging its outcome.

While the discussions have not yet provided a firm indication as to the concrete next steps, the Ukrainian initiative proved to be a timely undertaking and has already found support, including from the current OSCE chairmanship of Switzerland. In our opinion, future work towards this goal should be viewed in the context of related Russian activities.

Ukraine considers that confidence-building in the field of conventional arms:

- Offers, for a limited cost, a set of tools combining transparency through declaration, on-site verification and arms limitation, instead of devoting resources to gathering intelligence about the conventional capabilities of neighbouring countries.
- Is designated not only to control numbers of armaments and military equipment but also to reduce the risk of conflict by increasing trust among States and contributing to greater openness, predictability and transparency in the field of defence planning and military activities.
- Must include such classic time-tested tools as complete, accurate and timely exchange of relevant information and its on-the-spot verification, with the highest possible level of specification and sufficient intrusiveness, respectively, dependent on the level of trust among the participants in each time span, bearing in mind that what the participating States do not notify within the framework of information exchange cannot be verified.
- Should incorporate from the outset, or gradually thereafter, all measures worked out for the OSCE Vienna Document 2011, which as of today is exemplary in the area of confidence-building, and additional measures for the collective taming of aggression.
- Should first deal with the traditional categories of conventional armaments, bearing in mind the necessity to put new categories under control when the time comes.

- Should have as many participants as possible and accordingly cover as large an area as possible.
- Preferably be legally binding to be more obligatory. On the other hand, the overall experience of the OSCE Vienna Document 2011 has shown that a politically binding agreement can work.
- Should be periodically evaluated by the parties for viability, effectiveness and the possibility of further enhancement by way of modernization.

The assumption stated above is based on the following premises:

- The challenge for the international community is not just to identify the major threats and risks, but to define and adjust the role that appropriate arms control instruments can play in meeting them.
- The security of each participating State is inseparably linked to that of all the others. Each participating State has an equal right to security.
- Participants should maintain only those military capabilities that are commensurate with their legitimate individual or collective security needs.
- There should be no spheres of influence and no such thing as a "veto" vote when it comes to aggression.
- Limitations to and, where necessary, reductions in forces are an important element in the continuing search for security and stability at lower levels of forces. Other constraining provisions on armed forces and security-building measures must continue to be significant elements in the quest for stability.
- At all times it will be important to ensure complementarity between region-wide and subregional approaches. Regional arms control efforts should be based, inter alia, on specific military security issues.
- Specific issues, such as modernization of the existing framework versus the development of new mechanisms, identifying potential new elements in a new regime and updating existing instruments, are essential and must be dealt with when the time is right and within the appropriate format.
- Constant developments in military matters necessitate a fundamental modernization of conventional arms control.
- The strong commitment of the participating States to full implementation and further development of arms control agreements is essential for enhancing military and political stability within the respective areas. The positive trends of cooperation, transparency and predictability need to be gradually strengthened.

The approaches, assumptions and principles referred to above may enable interested parties to make progress in moving closer to peace and security throughout the area of application of confidence-building measures in the field of conventional arms.